

Attorney Docket No. 50325-0855

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sunil K. Srivastava	)	Confirmation No.: 4990
Serial No.: 10/715,721	)	Examiner: NYA
Filed on: November 17, 2003	)	Group Art Unit No.: 2131

For: PROCESSING METHOD FOR KEY EXCHANGE AMONG BROADCAST OR  
MULTICAST GROUPS THAT PROVIDES A MORE EFFICIENT SUBSTITUTE FOR  
DIFFIE-HELLMAN KEY EXCHANGE

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form, if needed. It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

X 37 C.F.R. §1.97(b).

       37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes one of the following:

       A statement pursuant to 37 C.F.R. §1.97(e)

\_\_\_\_ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

\_\_\_\_ 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

\_\_\_\_ 37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:

\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e)

\_\_\_\_ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR

\_\_\_\_ 1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND

\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

\_\_\_\_ 37 C.F.R. §1.97(i). Wherein applicants are submitting references before the grant of a patent to be placed in the file but not considered by the Patent office.

- (1) Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith for placement in the file. No certification or fees are deemed necessary.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: April 15, 2004

  
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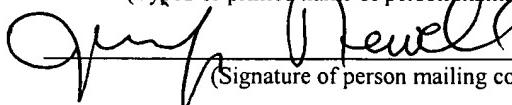
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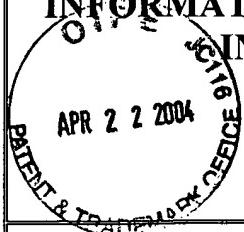
April 19, 2004  
(Date of Deposit)

Jennifer Newell

(Typed or printed name of person mailing correspondence)

  
(Signature of person mailing correspondence)

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**  
**(PTO-1449)**



**ATTY. DOCKET NO.**  
50325-0855

**SERIAL NO.**  
10/715,721

**APPLICANT:**  
Sunil K. Srivastava

**FILING DATE:**  
November 17, 2003

**GROUP:**  
2131

**U.S. PATENT DOCUMENTS**

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (If known)			
		4,531,020		Wechselberger et al.	07-23-1985	
		4,776,011		Busby	10-04-1988	
		4,881,263		Herbison et al.	11-14-1989	
		5,309,516		Takaragi et al.	05-03-1994	
		5,351,295		Perlman et al.	09-27-1994	
		5,361,256		Doeringer et al.	11-01-1994	
		5,588,060		Aziz	12-24-1996	
		5,588,061		Ganesan et al.	12-24-1996	
		5,600,642		Pauwels et al.	02-04-1997	
		5,630,184		Roper et al.	05-13-1997	
		5,633,933		Aziz	05-27-1997	
		5,663,896		Aucsmith	09-02-1997	
		5,748,736		Mittra	05-05-1998	
		5,805,578		Stirpe et al.	09-08-1998	
		5,850,451		Sudia	12-15-1998	
		5,889,865		Vanstone et al.	03-30-1999	
		5,920,630		Wertheimer et al.	07-06-1999	

**FOREIGN PATENT DOCUMENTS**

Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD- YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				

Examiner  
Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**INFORMATION DISCLOSURE CITATION  
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		Number	Kind Code <sup>2</sup> (If known)			
		5,987,131		Clapp	11-16-1999	
		6,009,274		Fletcher et al.	12-28-1999	
		6,049,878		Caronni et al.	04-11-2000	
		6,088,336		Tosey	07-11-2000	
		6,119,228		Angelo et al.	09-12-2000	
		6,151,395		Harkins	11-21-2000	
		6,216,231	B1	Stubblebine	04-10-2001	
		6,240,188	B1	Dondeti et al.	05-29-2001	
		6,256,733	B1	Thakkar et al.	07-03-2001	
		6,263,435	B1	Dondeti et al.	07-17-2001	
		6,272,135	B1	Nakatsugawa	08-07-2001	
		6,279,112	B1	O'Toole, Jr. et al.	08-21-2001	
		6,295,361	B1	Kadansky et al.	09-25-2001	
		6,330,671	B1	Aziz	12-11-2001	
		6,332,163	B1	Bowman-Amuah	12-18-2001	

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)				

Examiner  
Signature

Date Considered

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**APPLICANT:**  
Sunil K. Srivastava

**FILING DATE:**  
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<b>Substitute for Form 1449A/PTO (Modified)</b> (use as many sheets as necessary)		<b>Attorney Docket No.:</b> 50325-0855	<b>Application Number:</b> 10/715,721
		<b>First Named Inventor:</b> Sunil K. Srivastava	
		<b>Filing Date:</b> November 17, 2003	
<b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
.		Whitfield Diffie, et al., "New Directions in Cryptography," IEEE Transactions On Information Theory, Vol. IT-22, No. 6, November 1976, pp. 29-40.	
.		Whitfield Diffie, "The First Ten Years of Public-Key Cryptography," Proceedings of the IEEE, Vol. 76, No. 5, May 1988, pp. 560-577.	
.		Silvio Micali, "Guaranteed Partial Key-Escrow", MIT/LCS/TM-537, Laboratory for Computer Science, August 1995, Handout #13, 14 pages.	
.		Mihir Bellare, et al., "Verifiable Partial Key Escrow," Proceedings of the Fouth Annual Conference on Computer and Communications Security, ACM, 1997 November 1996, pp. 1-22.	
.		U.S. Department of Commerce, National Institute of Standards and Technology," Federal Information Processing Standards Publication 185 February 9, 1994, 8 pages.	
.		Cylink Corporation, "Alternatives to RSA: Using Diffie-Hellman with DSS," 11 pages.	
.		Robert Orfali et al., "The Essential Distributed Objects Survival Guide," 1996, pp. 448-449.	
.		David Chappell, "Understanding Microsoft Windows 2000 Distributed Services," 2000, pp. 319-324.	
.		Robert Orfali et al., "Client/Server Survival Guide Third Edition," 1999, p. 488.	
.		Koblitz, Neal, "A Course in Number Theory and Cryptography, 1994, Springer-Verlag New York Inc. 2nd Edition, 8 pages.	

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